

TRIAL EXHIBIT FORM

EXHIBIT (S) OF EDWARD S. WALCZAK DEFENDANT <hr/>			<u>SECURITIES AND EXCHANGE COMMISSION</u> V. Case No. <u>3:20-cv-00076</u> <u>EDWARD S. WALCZAK</u> <hr style="border-top: 1px dashed black;"/> <u>COMMODITY FUTURES TRADING COMMISSION</u> V. Case No. <u>3:20-cv-00075</u> <u>EDWARD S. WALCZAK</u>	
Date	Identification		Description	Offers, Objections, Rulings, Exceptions
	No.	Witness		
	500		Transcript of Open House Call dated January 17, 2014	None
	501		Transcript of Open House Call dated November 4, 2014	None
	502		Transcript of Open House Call dated September 15, 2015	None
	503		HFX Weekly Open House Call dated September 29, 2015 recording Bates: Catalyst 003 28782	None
	504		HFX Weekly Open House Call recording of October 6, 2015 Bates: Catalyst 003 28962	None
	505		HFX Weekly Open House Call recording dated October 13, 2015 Bates: Catalyst 003 29411	None
	506		HFX Weekly Open House Call recording dated November 10, 2015	None
	507		HFX Weekly Open House Call recording dated December 1, 2015 Bates: Catalyst 003 33912	None
	508		HFX National Open House Call recording dated January 19, 2016 Bates: Catalyst 003 38955	None
	509		HFX National Open House recording dated February 2, 2016 Bates: Catalyst 003 41353	None

	510		HFXAX PM Update Call recording dated March 1, 2016 Bates: Catalyst_003_44907	Foundation. Unclear whether this is a recording of 3/1/16 Open House Call or something else
	511		HFX National Open House Call recording dated March 15, 2016 Bates: Catalyst_003_46687	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	512		Transcript of Open House Call dated March 29, 2016	None
	513		National Open House HFX & CFH Call recording April 12, 2016 Bates: Catalyst_003_51648	None
	514		Transcript of Open House Call dated May 24, 2016	None
	515		National Open House HFX & CFH Call recording dated June 28, 2016 Bates: Catalyst_003_59295	None
	516		National Open House HFX & CFH Call recording dated July 12, 2016 Bates: Catalyst_003_05385	None
	517		<i>Intentionally Omitted</i>	N/A
	518		National Open House HFX & CFH Call recording dated October 11, 2016 Bates: Catalyst_003_10568	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	519		<i>Intentionally Omitted</i>	N/A
	520		HFX CFH Open House PM Conf Call recording dated February 27, 2017 Bates: Catalyst_003_26442	None
	521		SEC Exhibit 5 Catalyst Compliance Manual Bates: Catalyst_005_0144153 to Catalyst_005_0144267	None
	522		SEC Exhibit 11 December 16, 2014 email Bates: SEC_04_Rios051 to SEC_04_Rios052	No objection to cited bates numbers (SEC_04_Rios51 to SEC_04_Rios52, except that exhibit should be expanded to SEC_04_Rios54 for complete document).
	523		SEC Exhibit 17 December 2014 Risk Guidelines Bates: SEC_01_0003055	None.
	524		SEC Exhibit 22 Email dated October 2, 2015 to Paul Rieger and Jeremy O'Keefe from Kimberly Rios Bates: SEC_01_0028481 to SEC_01_0028518	None
	525		SEC Exhibit 28 December 8, 2016 E-mail	None

			Bates: Catalyst_005_0111808 to Catalyst_005_0111811	
	526		SEC Exhibit 29 December 8, 2016 E-mail Bates: Catalyst_005_0112236	None
	527		SEC Exhibit 30 E-mail dated December 8, 2016 Bates: Catalyst_005_0112251	None
	528		SEC Exhibit 31 E-mail dated December 8, 2016 Bates: Catalyst_005_0112407	Text/information within email appears to be article that is not part of exhibit. Hearsay. Foundation.
	529		SEC Exhibit 32 E-mail dated December 9, 2016 Bates: SEC_01_0016118	Hearsay (multiple levels). Relevance. 401. 403.
	530		SEC Exhibit 33 E-mail dated December 9, 2016 Bates: Catalyst_005_0115778	Hearsay (multiple levels). Relevance. 401. 403.
	531		SEC Exhibit 35 Email dated November 9, 2016 Bates: SEC_01_0012041	None
	532		SEC Exhibit 36 E-mail dated November 15, 2016 Bates: SEC_01_0012519	Relevance. 401. 403.
	533		SEC Exhibit 45 E-mail dated December 10, 2016 Subject: RE: HFXAX Catalyst Hedged Futures Strategy Fund Call Today	None
	534		SEC Exhibit 54 E-mail dated December 14, 2016 Bates: Catalyst_005_0123959	None
	535		SEC Exhibit 55 E-mail dated January 17, 2017 Bates: SEC_01_0020844	None
	536		SEC Exhibit 56 E-mail dated January 25, 2017 Bates: Catalyst_005_0141143	None
	537		SEC Exhibit 57 E-mail dated January 25, 2017 Bates: SEC_01_0081349	None
	538		SEC Exhibit 58 E-mail dated January 26, 2017 Bates: Catalyst_005_0146764	None
	539		SEC Exhibit 59 E-mail dated January 26, 2017 Bates: Catalyst_005_0146841	None
	540		SEC Exhibit 63 E-mail dated January 31, 2017 Bates: Catalyst_005_0158253 to Catalyst_005_0158254	None
	541		SEC Exhibit 64 E-mail dated February 9, 2017 Bates: Catalyst_005_0182980 to Catalyst_005_0182981	None

	542		SEC Exhibit 66 E-mail dated February 15, 2017 Bates: Catalyst 005_0200678	Hearsay
	543		SEC Exhibit 67 E-mail dated February 14, 2017 Bates: SEC 01_0000276 to SEC 01_0000278	None
	544		SEC Exhibit 71 E-mail dated February 16, 2017 Bates: SEC 01_0084398	None.
	545		SEC Exhibit 73 E-mail dated December 9, 2016 Bates: Catalyst_005_0115572	None
	546		SEC Exhibit 74 E-mail dated July 7, 2016 Subject: RE: HFXAX 2016 Q2 Fact Sheet	None
	547		SEC Exhibit 91 E-mail dated December 8, 2016 Bates: Catalyst 005_0112285	None
	548		SEC Exhibit 97 E-mail dated December 11, 2016 Bates: Catalyst 005_0118387	None
	549		SEC Exhibit 112 Harbor Assets Bates: MFST00048392 to MFST00048402	Relevance. 401. 403.
	550		SEC Exhibit 117 E-mail dated July 22, 2016 Bates: SEC 04_0108698	Hearsay. Relevance. 403.
	551		SEC Exhibit 125 E-mail dated February 9, 2017 Bates: SEC 04_Rios244	None
	552		SEC Exhibit 137 E-mail dated November 30, 2016 Bates Catalyst 003_75938 to Catalyst_003_75998; SEC 01_0075938 to SEC 01_0075998	None
	553		SEC Exhibit 151 E-mail dated January 17, 2017 Bates: SEC 04_0095480	None
	554		SEC Exhibit 155 E-mail dated March 23, 2016 Bates: SEC 04_0281980	Hearsay
	555		SEC Exhibit 162 E-mail dated May 20, 2014 Bates: SEC 04_0370955	Hearsay
	556		SEC Exhibit 173 E-mail dated January 27, 2017 Bates: Catalyst_003_00237 SEC 01_0000237	None
	557		SEC Exhibit 174 E-mail dated February 9, 2017 Bates: Catalyst_005_0182980 to Catalyst 005_0182981	None
	558		SEC Exhibit 178 E-mail dated November 2, 2014	None

			Bates: SEC_04_0360742	
	559		SEC Exhibit 189 E-mail dated April 18, 2016 Bates: SEC_04_0204606	None
	560		SEC Exhibit 192 E-mail dated December 9, 2016 Bates: Catalyst_005_0115880	Hearsay
	561		SEC Exhibit 193 E-mail dated December 9, 2016 Bates: Catalyst_003_16216 SEC_01_0016216	None
	562		SEC Exhibit 198 E-mail dated February 13, 2017 Bates: Catalyst_005_0194446	None
	563		SEC Exhibit 202 Harbor Assets February 29, 2012 Disclosure Document Bates: SEC_04_0365157	Relevance. 403
	564		SEC Exhibit 203 Harbor Assets Disclosure Document dated April 30, 2013 Bates: Catalyst_003_32230 SEC_01_0032230	Relevance. 403
	565		SEC Exhibit 204 Catalyst Capital Advisors Compliance Policies and Procedures Manual dated June 2015 Bates: SEC_04_0287539	None
	566		SEC Exhibit 209 E-mail dated October 12, 2014 Bates: SEC_04_0369845 to SEC_04_0369847	None
	567		SEC Exhibit 210 E-mail dated January 30, 2017 Bates: Catalyst_005_0154616 to Catalyst_005_0154618	None
	568		CFTC Exhibit 2a to Saffrin Testimony E-mail dated January 23, 2017 Bates: Catalyst_005_0132752	None
	569		CFTC Exhibit 2b to Saffrin Testimony HFXAX Spreadsheet dated January 23, 2017 Bates: Catalyst_005_0132753	None
	570		CFTC Exhibit 2c to Saffrin Testimony Positions Spreadsheet dated January 23, 2017	None
	571		CFTC Exhibit 3 E-mail dated February 9, 2017 Bates: Catalyst_005_0182280	Hearsay
	572		CFTC Exhibit 2 to Miller Testimony Exposure Report	Relevance. Foundation.
	573		CFTC Exhibit 3a E-mail dated October 17, 2016 Bates: Catalyst_003_10227 to Catalyst_003_10228	None
	574		CFTC Exhibit 4 to Miller Testimony October 2016 to January 2017 NAV	None

	575		CFTC Exhibit 7 E-mail dated January 31, 2017 Bates: Catalyst 005_0157254	None
	576		CFTC Exhibit 8a E-mail dated February 9, 2017 Bates: Catalyst_005_0182980 to Catalyst 005_0182981	None
	577		EW_CFTC Exhibit 2 Daily HFXAX Prices EW_CFTC Exhibit 3 to April 2018 Testimony Daily S&P Prices	None
	578		EW_CFTC Ex 4B HFXAX Positions Spreadsheet Bates: Catalyst 005_0190447	None
	579		EW_CFTC Ex 6B Trade Confirms dated February 9, 2017	None
	580		CFTC Exhibit 7 E-mail dated January 2, 2017 Bates: Catalyst 003_00192	None
	581		CFTC Exhibit 10 to Schoonover Test. E-mail dated January 5, 2017 Bates: Catalyst 003_19525	None
	582		E-mail dated December 2, 2016 Bates: Catalyst 005_0099956	None
	583		E-mail dated December 12, 2017 Bates: SEC_01_0000261 to SEC_01_0000268	Hearsay
	584		E-mail dated January 30, 2017 Bates: Catalyst 005_0153408	None
	585		E-mail dated February 9, 2017 Bates: Catalyst 005_0182280	Hearsay
	586		E-mail dated February 14, 2017 Bates: Catalyst 005_0197077	None
	587		E-mail dated February 17, 2017 Bates: Catalyst 005_0208064	Hearsay
	588		E-mail dated February 17, 2017 Bates: Catalyst 005_0208151	Hearsay
	589		E-mail dated February 17, 2017 Bates: SEC_01_0025317	Hearsay
	590		E-mail dated February 16, 2017 Bates: SEC_01_0025290	Hearsay
	591		E-mail dated February 15, 2017 Bates: SEC_01_0024513	Hearsay (multiple levels)
	592		E-mail dated February 8, 2017 Bates: SEC_01_0023539	None
	593		E-mail dated February 6, 2017 Bates: SEC_01_0000245	Hearsay (multiple levels)
	594		E-mail dated February 3, 2017 Bates: SEC_01_0000244	Hearsay (multiple levels)
	595		E-mail dated February 17, 2017 Bates: Catalyst 005_0208416	Hearsay
	596		E-mail dated February 17, 2017 Bates: Catalyst 005_0208410	Hearsay
	597		E-mail dated February 17, 2017 Bates: Catalyst 005_0208151	Hearsay (same bates # as DX 588)

	598		E-mail dated February 15, 2017 Bates: Catalyst 005 0199888	None
	599		E-mail dated February 15, 2017 Bates: Catalyst 005 0200776	None
	600		E-mail dated February 15, 2017 Bates: SEC_01_0024513	Hearsay (multiple levels) (Duplicate - same bates # as DX 593)
	601		E-mail dated February 16, 2017 Bates: SEC_01_0025284	Hearsay
	602		E-mail dated February 13, 2017 Bates: SEC_01_0023784	Hearsay
	603		E-mail dated February 16, 2017 Bates: SEC_01_0025290	Hearsay (Duplicate – same bates # as DX 590)
	604		CFTC Answers to Interrogatories	None
	605		CFTC Original Complaint	None
	606		CFTC First Amended Complaint	None
	607		E-mail dated February 15, 2017 Bates: Catalyst 005 0200678	Hearsay (Duplicate – same as DX 542)
	608		E-mail dated February 17, 2017 Bates: SEC_01_0000301	Hearsay (multiple levels)
	609		E-mail dated February 16, 2017 Bates: SEC_01_0084398	None (Duplicate – same as DX 544)
	610		Catalyst Prospectus dated November 1, 2019 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	611		Catalyst Prospectus, April 5, 2019 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	612		Catalyst Prospectus dated November 1, 2018 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	613		Catalyst Prospectus dated November 1, 2017 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	614		Catalyst Prospectus dated December 22, 2016 Public Filing	None, except to extent inconsistent with Court Orders on MIL.
	615		Catalyst Prospectus dated August 31, 2018 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	616		Catalyst Prospectus dated April 6, 2017 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	617		Catalyst Prospectus July 7, 2016 Bates: Catalyst_003_10254	None, except to extent inconsistent with Court Orders on MIL.

	618		Harbor Financial Disclosure Document dated July 30, 2014 Bates: CFTC3_00032373	Relevance. 403
	619		E-mail dated December 22, 2014 Bates: SEC 04 0357587 to SEC 04 0357606	None
	620		Hedged Futures Strategy Fund Risk Guidelines dated December 2014 Bates: SEC 04 0357600	None
	621		E-mail dated January 2, 2017 Bates: SEC 01 0000194	Hearsay
	622		E-mail dated May 13, 2014 Bates: SEC 04 0365057 to SEC 04 0365265	None
	623		Harbor Assets Financials for 2006 Bates: SEC 04 0365064 to SEC 04 0365069	None
	624		Harbor Assets Financials for 2007 Bates: SEC 04 0365070 to SEC 04 0365082	None
	625		Harbor Assets financials for 2008 Bates: SEC 04 0365083 to SEC 04 0365095	None
	626		Harbor Assets financials for 2009 Bates: SEC 04 0365096 to SEC 04 0365110	None
	627		Harbor Assets financials for 2010 Bates: SEC 04 0365111 to SEC 04 0365125	None
	628		Harbor Assets financials for 2011 Bates: SEC 04 0365126 to SEC 04 0365140	None
	629		Harbor Assets financials for 2012 SEC 04 0365141 to SEC 04 0365155	None
	630		Harbor Monthly Returns Bates: SEC 04 0365156	None
	631		Harbor Assets Disclosure Document dated February 29, 2012 Bates: SEC 04 0365157	Relevance. 403
	632		Catalyst Prospectus November 1, 2016 Public Filing	None, except to extent inconsistent with Court Orders on MIL.
	633		Catalyst Statement of Additional Information dated November 1, 2014 Public Filing	None, except to extent inconsistent with Court Orders on MIL.
	634		Catalyst SAI dated November 1, 2015 Public Filing	None, except to extent inconsistent with Court Orders on MIL.
	635		Catalyst SAI dated Nov. 1, 2016 Public Filing	None, except to extent inconsistent with Court Orders on MIL.
	636		Catalyst SAI dated April 6, 2017 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	637		HFXAX Holdings dated Sept. 15, 2016 Bates: CATALYST 003 71616	Relevance. Hearsay. 403
	638		HFXAX Holdings dated May 2016. Bates: SEC_04_0090123	Foundation. Incomplete Document.

	639		HFXAX Holdings dated Feb. 23, 2017 Bates: SEC 04 0117987	None
	640		HFXAX Holdings dated March 17, 2017 Bates: SEC 04 0120384	Relevance
	641		Risk Metrics Calculations Instructions Cover Sheet Bates: SEC_01_0058845	None
	642		Risk Metrics Calc Instructions Bates: SEC 01 0058847	None
	643		Risk Metric Formulas Bates: SEC 01 0058856	None
	644		Catalyst Prospectus Supplement dated September 30, 2015 Bates: CFTC-WALCZAK-00004434	None, except to extent inconsistent with Court Orders on MIL.
	645		Catalyst Prospectus dated August 29, 2013 Bates: SEC-PROD-000598673	None, except to extent inconsistent with Court Orders on MIL.
	646		E-mail dated February 15, 2017 Bates: SEC 01 0000283	Hearsay
	647		E-mail dated February 15, 2017 Bates: SEC 01 0000287	None
	648		Harbor Financial Disclosure Document dated December 31, 2012 Bates: SEC-PROD-000601605	Relevance. 403
	649		Harbor Financial Disclosure Document dated September 30, 2013 Bates: SEC-PROD-000601664	Relevance. 403
	650		Harbor Financial and Fund Closing Prices CWXAX Historical Pricing Walczak_ARB_001874 Publicly Available	Relevance. 403
	651		<i>Intentionally Omitted</i>	None
	652		Fund AUM by Month Bates: Catalyst 005 87727	None
	653		Harbor Assets Financials Compendium Bates: SEC 04 0365057 to SEC 04 0365265	None
	654		Due Diligence Responses dated May 29, 2015 Bates: CFTC3 00023261 to CFTC3 00023264	None
	655		Catalyst Investor Reports Bates: SEC_01_0028364 to SEC_01_0028403	Objection: Lack of foundation, hearsay. None of the individuals on the email are witnesses.
	656		Catalyst Investor Reports dated April 6, 2016 Bates: SEC_01_0049050 to SEC_01_0049090	Objection: Lack of foundation, hearsay. None of the individuals on the email are witnesses.
	657		Draft Catalyst DDQ Response dated May 20, 2016 Bates: SEC_04_0258523 to SEC_04_0258528	Objection: Lack of foundation, hearsay. Bill Besgen (sender of email, not a witness. Statements in attached DDQ are offered for the truth and unknown who is the speaker.

	658		Draft Catalyst DDQ Response dated May 31, 2016 Bates: SEC_04_0259885 to SEC_04_0259890	None
	659		Catalyst Fact Sheet dated March 2016 Bates: SEC_01_0056927 to SEC_01_0056938	Objection: Lack of foundation, hearsay. None of the individuals on the email are witnesses.
	660		Catalyst Fact Sheets dated March 2016 Bates: SEC_01_0057976 to SEC_01_0058010	Objection: Lack of foundation, hearsay. None of the individuals on the email are witnesses.
	661		Risk Metric Instructions for 2016 Bates: SEC_01_0058845 to SEC_01_0058856	None
	662		E-mail dated December 10, 2016 Bates: Catalyst_005_0117981	Objection: Hearsay within hearsay, Szylagyi passing along assertions from "someone in the industry" and Rios passing along assertions from "JJ."
	663		E-mail dated December 10, 2016 Bates: Catalyst_005_0118107	None
	664		E-mail dated January 26, 2017 Bates: SEC_01_0000236	None
	665		E-mail from Daniel Saffrin to Ed Walczak and other attaching Fund Correlation Volatility Profile PDF dated August 13, 2019 Catalyst_ARB_0163515 to Catalyst_ARB_0163516	Foundation. Hearsay. 702. 703. 705. Outside relevant time period.
	666		Exposure Summary Messages/Reports Bates: Catalyst_005_0154665 HFXAX Exposure Summary -- 01/30/2017.msg Catalyst_005_0154666 HFXAX Exposure Summary.xlsx Catalyst_005_0158253 HFXAX Exposure Summary -- 01/31/2017.msg Catalyst_005_0158254 HFXAX Exposure Summary.xlsx Catalyst_005_0161543 RE: HFXAX Exposure Summary -- 02/01/2017.msg Catalyst_005_0161544 HFXAX Exposure Summary.xlsx Catalyst_005_0169534 HFXAX Exposure Summary -- 02/02/2017.msg Catalyst_005_0169535 HFXAX Exposure Summary.xlsx Catalyst_005_0172990 HFXAX Exposure Summary -- 02/03/2017.msg Catalyst_005_0172991 HFXAX Exposure Summary.xlsx Catalyst_005_0176402 HFXAX Exposure Summary -- 02/06/2017.msg Catalyst_005_0176403 HFXAX Exposure Summary.xlsx	Object to the extent Defendant has included dissimilar documents within this group exhibit. See separate brief.

			Catalyst_005_0179194 HFXAX Exposure Summary -- 02/07/2017.msg Catalyst_005_0179195 HFXAX Exposure Summary.xlsx Catalyst_005_0182095 HFXAX Exposure Summary -- 02/08/2017.msg Catalyst_005_0182096 HFXAX Exposure Summary.xlsx Catalyst_005_0189486 HFXAX Exposure Summary -- 02/09/2017.msg Catalyst_005_0189487 HFXAX Exposure Summary.xlsx Catalyst_005_0194341 HFXAX Exposure Summary -- 02/13/2017.msg Catalyst_005_0194342 HFXAX Exposure Summary.xlsx Catalyst_005_0199891 HFXAX Exposure Summary -- 02/14/2017.msg Catalyst_005_0199892 HFXAX Exposure Summary.xlsx Catalyst_005_0200001 RE: HFXAX Exposure Summary -- 02/14/2017.msg Catalyst_005_0200611 HFXAX Exposure Summary -- 02/15/2017.msg Catalyst_005_0200612 HFXAX Exposure Summary.xlsx Catalyst_005_0203816 HFXAX Exposure Summary -- 02/16/2017.msg Catalyst_005_0203817 HFXAX Exposure Summary.xlsx Catalyst_005_0208042 HFXAX Exposure Summary -- 02/17/2017.msg Catalyst_005_0208043 HFXAX Exposure Summary.xlsx Catalyst_005_0210883 UPDATED HFXAX Exposure Summary -- 02/17/2017.msg Catalyst_005_0210884 HFXAX Exposure Summary.xlsx Catalyst_005_0210885 HFXAX Exposure Summary -- 02/21/2017.msg Catalyst_005_0210886 HFXAX Exposure Summary.xlsx Catalyst_005_0210889 RE: HFXAX Exposure Summary -- 02/22/2017.msg Catalyst_005_0210890 HFXAX Exposure Summary -- 02/23/2017.msg Catalyst_005_0210891 HFXAX Exposure Summary.xlsx Catalyst_005_0210898 HFXAX Exposure Summary -- 02/24/2017.msg Catalyst_005_0210899 HFXAX Exposure Summary.xlsx	
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		Catalyst_005_0210912 RE: HFXAX Exposure Summary -- 02/24/2017.msg Catalyst_005_0210913 HFXAX Exposure Summary.xlsx Catalyst_005_0210925 HFXAX Exposure Summary -- 02/27/2017 (INTERNAL USE ONLY).msg Catalyst_005_0210926 HFXAX Exposure Summary.xlsx Catalyst_005_0210927 HFXAX Exposure Summary -- 2/24/2017 -- Internal Use Only.msg Catalyst_005_0210928 HFXAX Exposure Summary.xlsx Catalyst_005_0210929 HFXAX Exposure Summary -- 03/01/2017 (Internal Use Only).msg Catalyst_005_0210930 HFXAX Exposure Summary.xlsx	
	667	Manamu Reports Bates: Catalyst_005_0088276 Catalyst Risk Report November,25,2016.msg Catalyst_005_0090676 Catalyst Risk Report November,28,2016.msg Catalyst_005_0093478 Catalyst Risk Report November,29,2016.msg Catalyst_005_0096102 Catalyst Risk Report November,30,2016.msg Catalyst_005_0098591 Catalyst Risk Report December,01,2016.msg Catalyst_005_0102141 Catalyst Risk Report December,02,2016.msg Catalyst_005_0104962 Catalyst Risk Report December,05,2016.msg Catalyst_005_0108563 Catalyst Risk Report December,06,2016.msg Catalyst_005_0112671 Catalyst Risk Report December,07,2016.msg Catalyst_005_0116010 Catalyst Risk Report December,08,2016.msg Catalyst_005_0119017 Catalyst Risk Report December,09,2016.msg Catalyst_005_0121626 Catalyst Risk Report December,12,2016.msg Catalyst_005_0124358 Catalyst Risk Report December,13,2016.msg Catalyst_005_0126758 Catalyst Risk Report December,14,2016.msg Catalyst_005_0129787 Catalyst Risk Report December,15,2016.msg Catalyst_005_0133749 Catalyst Risk Report January,20,2017.msg Catalyst_005_0137946	Object to the extent Defendant has included dissimilar documents within this group exhibit and other grounds. See separate brief.

			Catalyst Risk Report January,23,2017.msg Catalyst_005_0141949 Catalyst Risk Report January,24,2017.msg Catalyst_005_0147433 Catalyst Risk Report January,25,2017.msg Catalyst_005_0150904 Catalyst Risk Report January,26,2017.msg Catalyst_005_0154707 Catalyst Risk Report January,27,2017.msg Catalyst_005_0158615 Catalyst Risk Report January,30,2017.msg Catalyst_005_0161629 Catalyst Risk Report January,31,2017.msg Catalyst_005_0166372 Catalyst Risk Report February,01,2017.msg Catalyst_005_0170064 Catalyst Risk Report February,02,2017.msg Catalyst_005_0170069 Re: Catalyst Risk Report February,02,2017.msg Catalyst_005_0170076 Catalyst Risk Report February,02,2017.msg Catalyst_005_0170079 Re: Catalyst Risk Report February,02,2017.msg Catalyst_005_0173966 Catalyst Risk Report February,03,2017.msg Catalyst_005_0176847 Catalyst Risk Report February,06,2017.msg Catalyst_005_0179824 Catalyst Risk Report February,07,2017.msg Catalyst_005_0183343 Catalyst Risk Report February,08,2017.msg Catalyst_005_0190419 Catalyst Risk Report February,09,2017.msg Catalyst_005_0194370 Catalyst Risk Report February,10,2017.msg Catalyst_005_0197368 Catalyst Risk Report February,13,2017.msg Catalyst_005_0200725 Catalyst Risk Report February,14,2017.msg Catalyst_005_0203859 Catalyst Risk Report February,15,2017.msg Catalyst_005_0208473 Catalyst Risk Report February,16,2017.msg CFTC4_00000063 Catalyst Risk Report July,28,2016.msg CFTC4_00000065 Catalyst Risk Report July,29,2016.msg CFTC4_00000079 Catalyst Risk Report August,01,2016.msg SEC_04_0110633 Catalyst Risk Report August,16,2016.msg SEC_04_0110748 Catalyst Risk Report August,17,2016.msg	
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			SEC_04_0111004 Catalyst Risk Report August,18,2016.msg SEC_04_0111186 Catalyst Risk Report August,19,2016.msg SEC_04_0111194 Re: Catalyst Risk Report August,19,2016.msg SEC_04_0111202 Catalyst Risk Report August,19,2016.msg SEC_04_0111333 Catalyst Risk Report August,22,2016.msg SEC_04_0111445 Catalyst Risk Report August,23,2016.msg SEC_04_0111547 Catalyst Risk Report August,24,2016.msg SEC_04_0111674 Catalyst Risk Report August,25,2016.msg SEC_04_0111790 Catalyst Risk Report August,26,2016.msg SEC_04_0111885 Catalyst Risk Report August,29,2016.msg SEC_04_0111892 Re: Catalyst Risk Report August,29,2016.msg SEC_04_0111900 Catalyst Risk Report August,29,2016.msg SEC_04_0112037 Catalyst Risk Report August,30,2016.msg SEC_04_0112273 Catalyst Risk Report September,30,2016.msg SEC_04_0112390 Catalyst Risk Report October,03,2016.msg SEC_04_0112538 Catalyst Risk Report October,04,2016.msg SEC_04_0112647 Catalyst Risk Report October,05,2016.msg SEC_04_0112832 Catalyst Risk Report October,06,2016.msg SEC_04_0112916 Catalyst Risk Report October,07,2016.msg SEC_04_0113011 Catalyst Risk Report October,10,2016.msg SEC_04_0113153 Catalyst Risk Report October,11,2016.msg SEC_04_0113247 Catalyst Risk Report October,12,2016.msg SEC_04_0113358 Catalyst Risk Report October,13,2016.msg SEC_04_0113612 Catalyst Risk Report October,14,2016.msg SEC_04_0113708 Catalyst Risk Report October,17,2016.msg SEC_04_0113826 Catalyst Risk Report October,18,2016.msg SEC_04_0113966 Catalyst Risk Report October,19,2016.msg SEC_04_0114052	
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			Catalyst Risk Report October,20,2016.msg SEC_04_0114159 Catalyst Risk Report October,21,2016.msg SEC_04_0114178 Catalyst Risk Report October,21,2016.msg SEC_04_0114374 Catalyst Risk Report October,24,2016.msg SEC_04_0114528 Catalyst Risk Report October,25,2016.msg SEC_04_0114671 Catalyst Risk Report October,26,2016.msg SEC_04_0114775 Catalyst Risk Report October,27,2016.msg SEC_04_0114974 Catalyst Risk Report October,28,2016.msg SEC_04_0115179 Catalyst Risk Report October,31,2016.msg SEC_04_0115279 Catalyst Risk Report November,01,2016.msg SEC_04_0115363 Catalyst Risk Report November,02,2016.msg SEC_04_0115485 Catalyst Risk Report November,03,2016.msg SEC_04_0115572 Catalyst Risk Report November,04,2016.msg SEC_04_0115700 Catalyst Risk Report November,07,2016.msg SEC_04_0115729 Catalyst Risk Report November,07,2016.msg SEC_04_0115818 Catalyst Risk Report November,08,2016.msg SEC_04_0115928 Catalyst Risk Report November,09,2016.msg SEC_04_0116054 Catalyst Risk Report November,10,2016.msg SEC_04_0116070 Catalyst Risk Report November,10,2016.msg SEC_04_0116184 Catalyst Risk Report November,11,2016.msg SEC_04_0116370 Catalyst Risk Report November,14,2016.msg SEC_04_0116476 Catalyst Risk Report November,15,2016.msg SEC_04_0116604 Catalyst Risk Report November,16,2016.msg SEC_04_0116727 Catalyst Risk Report November,17,2016.msg SEC_04_0117056 Catalyst Risk Report November,18,2016.msg SEC_04_0117226 Catalyst Risk Report November,21,2016.msg SEC_04_0117327 Catalyst Risk Report November,22,2016.msg SEC_04_0117406 Catalyst Risk Report November,23,2016.msg	
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			SEC_04_0117463 Catalyst Risk Report November,24,2016.msg SEC_04_0117564 Catalyst Risk Report February,17,2017.msg SEC_04_0117630 Catalyst Risk Report February,20,2017.msg SEC_04_0117730 Catalyst Risk Report February,21,2017.msg SEC_04_0117879 Catalyst Risk Report February,22,2017.msg SEC_04_0118067 Catalyst Risk Report February,23,2017.msg SEC_04_0118263 Catalyst Risk Report February,24,2017.msg SEC_04_0118387 Catalyst Risk Report February,27,2017.msg SEC_04_0118640 Catalyst Risk Report February,28,2017.msg SEC_04_0118878 Catalyst Risk Report March,01,2017.msg SEC_04_0119061 Catalyst Risk Report March,02,2017.msg SEC_04_0119211 Catalyst Risk Report March,03,2017.msg SEC_04_0119334 Catalyst Risk Report March,06,2017.msg SEC_04_0119459 Catalyst Risk Report March,07,2017.msg SEC_04_0119590 Catalyst Risk Report March,08,2017.msg SEC_04_0119696 Catalyst Risk Report March,09,2017.msg SEC_04_0119814 Catalyst Risk Report March,10,2017.msg SEC_04_0119963 Catalyst Risk Report March,13,2017.msg SEC_04_0120069 Catalyst Risk Report March,14,2017.msg SEC_04_0120180 Catalyst Risk Report March,15,2017.msg SEC_04_0120302 Catalyst Risk Report March,16,2017.msg SEC_04_0120497	
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			Catalyst Risk Report March,17,2017.msg SEC_04_0120515 Re: Catalyst Risk Report March,17,2017.msg SEC_04_0120620 Catalyst Risk Report March,20,2017.msg SEC_04_0120784 Catalyst Risk Report March,21,2017.msg SEC_04_0120899 Catalyst Risk Report March,22,2017.msg SEC_04_0120970 Catalyst Risk Report March,23,2017.msg SEC_04_0121093 Catalyst Risk Report March,24,2017.msg SEC_04_0121190 Catalyst Risk Report March,27,2017.msg SEC_04_0121324 Catalyst Risk Report March,28,2017.msg SEC_04_0121359 Catalyst Risk Report March,28,2017.msg SEC_04_0121444 Catalyst Risk Report March,29,2017.msg SEC_04_0121568 Catalyst Risk Report March,30,2017.msg SEC_04_0121755 Catalyst Risk Report December,16,2016.msg SEC_04_0121942 Catalyst Risk Report December,19,2016.msg SEC_04_0122214 Catalyst Risk Report December,20,2016.msg SEC_04_0122283 Catalyst Risk Report December,21,2016.msg SEC_04_0122401 Catalyst Risk Report December,22,2016.msg SEC_04_0122514 Catalyst Risk Report December,23,2016.msg SEC_04_0122580 Catalyst Risk Report December,26,2016.msg SEC_04_0122661 Catalyst Risk Report December,27,2016.msg SEC_04_0122739 Catalyst Risk Report December,28,2016.msg SEC_04_0122851 Catalyst Risk Report December,29,2016.msg SEC_04_0123011	
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			Catalyst Risk Report December,30,2016.msg SEC_04_0123063 Catalyst Risk Report January,02,2017.msg SEC_04_0123200 Catalyst Risk Report January,03,2017.msg SEC_04_0123295 Catalyst Risk Report January,04,2017.msg SEC_04_0123391 Catalyst Risk Report January,05,2017.msg SEC_04_0123468 Catalyst Risk Report January,06,2017.msg SEC_04_0123571 Catalyst Risk Report January,09,2017.msg SEC_04_0123663 Catalyst Risk Report January,10,2017.msg SEC_04_0123798 Catalyst Risk Report January,11,2017.msg SEC_04_0123902 Catalyst Risk Report January,12,2017.msg SEC_04_0124010 Catalyst Risk Report January,13,2017.msg SEC_04_0124062 Catalyst Risk Report January,16,2017.msg SEC_04_0124216 Catalyst Risk Report January,17,2017.msg SEC_04_0124339 Catalyst Risk Report January,18,2017.msg SEC_04_0124451 Catalyst Risk Report January,19,2017.msg SEC_04_0264292 Catalyst Risk Report July,07,2016.msg SEC_04_0264725 Catalyst Risk Report July,11,2016.msg SEC_04_0265054 Catalyst Risk Report July,12,2016.msg SEC_04_0265226 Catalyst Risk Report July,13,2016.msg SEC_04_0265722 Catalyst Risk Report July,18,2016.msg SEC_04_0266068 Catalyst Risk Report July,19,2016.msg SEC_04_0266199 Catalyst Risk Report July,20,2016.msg SEC_04_0266252 Catalyst Risk Report July,20,2016.msg SEC_04_0266342 Catalyst Risk Report	
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		<p> July,21,2016.msg SEC_04_0266456 Catalyst Risk Report July,22,2016.msg SEC_04_0266605 Catalyst Risk Report July,25,2016.msg SEC_04_0266757 Catalyst Risk Report July,26,2016.msg SEC_04_0266940 Catalyst Risk Report July,27,2016.msg SEC_04_0267233 Catalyst Risk Report July,28,2016.msg SEC_04_0267416 Catalyst Risk Report July,29,2016.msg SEC_04_0267556 Catalyst Risk Report August,01,2016.msg SEC_04_0267783 Catalyst Risk Report August,02,2016.msg SEC_04_0268030 Catalyst Risk Report August,03,2016.msg SEC_04_0268171 Catalyst Risk Report August,04,2016.msg SEC_04_0268680 Catalyst Risk Report August,05,2016.msg SEC_04_0268788 Catalyst Risk Report August,08,2016.msg SEC_04_0269017 Catalyst Risk Report August,09,2016.msg SEC_04_0269144 Catalyst Risk Report August,10,2016.msg SEC_04_0269211 Catalyst Risk Report August,11,2016.msg SEC_04_0269343 Catalyst Risk Report August,12,2016.msg SEC_04_0269501 Catalyst Risk Report August,15,2016.msg SEC_04_0299749 Catalyst Risk Report August,31,2016.msg SEC_04_0299830 Catalyst Risk Report September,01,2016.msg SEC_04_0300047 Catalyst Risk Report September,02,2016.msg SEC_04_0300103 Catalyst Risk Report September,05,2016.msg SEC_04_0300246 Catalyst Risk Report September,06,2016.msg SEC_04_0300349 Catalyst Risk Report September,07,2016.msg SEC_04_0300456 Catalyst Risk Report September,08,2016.msg </p>	
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			SEC_04_0300592 Catalyst Risk Report September,09,2016.msg SEC_04_0300743 Catalyst Risk Report September,12,2016.msg SEC_04_0300884 Catalyst Risk Report September,13,2016.msg SEC_04_0301003 Catalyst Risk Report September,14,2016.msg SEC_04_0301123 Catalyst Risk Report September,15,2016.msg SEC_04_0301300 Catalyst Risk Report September,16,2016.msg SEC_04_0301425 Catalyst Risk Report September,19,2016.msg SEC_04_0301514 Catalyst Risk Report September,20,2016.msg SEC_04_0301652 Catalyst Risk Report September,21,2016.msg SEC_04_0301805 Catalyst Risk Report September,22,2016.msg SEC_04_0301972 Catalyst Risk Report September,23,2016.msg SEC_04_0302199 Catalyst Risk Report September,26,2016.msg SEC_04_0302216 Catalyst Risk Report September,26,2016.msg SEC_04_0302293 Catalyst Risk Report September,27,2016.msg SEC_04_0302385 Catalyst Risk Report September,28,2016.msg SEC_04_0302495 Catalyst Risk Report September,29,2016.msg SEC_04_0322420 Catalyst Risk Report September,29,2016.msg SEC_04_0322438 Catalyst Risk Report September,28,2016.msg SEC_04_0322448 Catalyst Risk Report September,27,2016.msg SEC_04_0322455 Catalyst Risk Report September,26,2016.msg SEC_04_0322465 Catalyst Risk Report September,26,2016.msg SEC_04_0322474 Catalyst Risk Report September,23,2016.msg SEC_04_0322501 Catalyst Risk Report September,22,2016.msg SEC_04_0322510 Catalyst Risk Report September,21,2016.msg SEC_04_0322519 Catalyst Risk Report September,20,2016.msg SEC_04_0322539 Catalyst Risk Report September,19,2016.msg SEC_04_0322545 Catalyst Risk Report September,16,2016.msg SEC_04_0322556	
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			Catalyst Risk Report September,15,2016.msg SEC_04_0322581 Catalyst Risk Report September,14,2016.msg SEC_04_0322588 Catalyst Risk Report September,13,2016.msg SEC_04_0322595 Catalyst Risk Report September,12,2016.msg SEC_04_0322604 Catalyst Risk Report September,09,2016.msg SEC_04_0322610 Catalyst Risk Report September,08,2016.msg SEC_04_0322616 Catalyst Risk Report September,07,2016.msg SEC_04_0322622 Catalyst Risk Report September,06,2016.msg SEC_04_0322629 Catalyst Risk Report September,05,2016.msg SEC_04_0322635 Catalyst Risk Report September,02,2016.msg SEC_04_0322642 Catalyst Risk Report September,01,2016.msg SEC_04_0322648 Catalyst Risk Report August,31,2016.msg SEC_04_0263517 SEC_04_0263520 SEC_04_0264380 SEC_04_0264383 SEC_04_0265127 SEC_04_0265130 SEC_04_0266802 SEC_04_0266805 SEC_04_0266806 SEC_04_0267656 SEC_04_0267660 SEC_04_0267891 SEC_04_0267894 SEC_04_0268101 SEC_04_0268104 SEC_04_0268251 SEC_04_0268254 SEC_04_0269397 SEC_04_0269400	
	668		Early Risk Metrics Bates: Catalyst_003_03055	Objection: Lack of foundation. Document is an attached to an email (which is not on the exhibit list) that is from UBS to Catalyst.
	669		Risk Metric Explanation Bates: Catalyst_003_52514	None
	670		Investor Presentation Q3, 2016 CFTC Exhibit 6 to Walczak Interview of Oct. 27, 2017 Bates: Cat 003_02301	None
	671		E-mail dated January 2, 2017 Bates: Catalyst_003_00192	None
	672		CFTC Exhibit 8 to Walczak Interview of Oct. 27, 2017 Catalyst Hedged Futures Strategy Fund Trade Log: Dec 16	None
	673		E-mail dated December 9, 2016 Bates: Catalyst_003_00168	Objection: Hearsay within hearsay, Szylagyi passing along assertions from "someone in the industry."

	674		E-mail dated December 9, 2016 Bates: Catalyst_003_16118	Objection: Hearsay within hearsay, Szylagyi passing along assertions from "someone in the industry."
	675		E-mail dated January 27, 2017 Bates: Catalyst_003_00237	None
	676		Catalyst Hedged Futures Strategy Fund Trade Log: Feb 17 CFTC Exhibit 13 to Walczak Interview of Oct. 27, 2017	None
	677		E-mail dated January 13, 2017 Bates: Catalyst_003_00222	Objection: Hearsay, market data being offered for the truth of the matter asserted.
	678		E-mail dated Dec 6, 2016 SEC Exhibit 41 Bates: Cat_005_0104962-63	Objection consistent with objection to Ex. 667.
	679		E-mail dated November 15, 2016 Subject: RE: October Fund Reconciliation SEC Exhibit 120	None
	680		Harbor Assets Fact Sheet SEC Exhibit 109 Bates: MFST00007533-34	Relevance. 403
	681		Aug 29, 2013 Prospectus SEC Exhibit 133 Bates: MFST00002903-28	None, except to extent inconsistent with Court Orders on MIL
	682		Hedged Futures Strategy Fund, March 31, 2016 Fact Sheet SEC Exhibit 75 Bates: SEC_04_0087870-71	None
	683		Hedged Commodity Strategy Fund Fact Sheet June 30, 2016 SEC Exhibit 86	Relevance. 403
	684		Hedged Futures Strategy Fund: Investor Presentation Q2, 2016 SEC Exhibit 85	None
	685		Hedged Commodity Strategy Fund: Investor Presentation Q2, 2016 SEC Exhibit 87	Relevance. 403
	686		Proposed Approval of Advisory Agreement SEC Exhibit 110 Bates: MFST00007519-68	None
	687		May 13, 2013 Board Minutes SEC Exhibit 111 Bates: MFST00004712-52	None
	688		Bates: SEC_01_0000292	None
	689		Portfolio Management Agreement SEC Exhibit 113 Bates: SEC_04_0122532-45	None
	690		Bates: SEC_01_0000291	None

	691		Portfolio Management Agreement SEC Exhibit 124 Bates: SEC_04_0122546-52	None
	692		E-mail dated Oct. 30, 2014 SEC Exhibit 142 Bates: SEC_04_0339714	Objection: Relevance. Capacity issue is unrelated to the claims in the case.
	693		E-mail dated Nov 6, 2014 SEC Exhibit 143 Bates: SEC_04_0369331-42	Objection: Relevance. "Soft close" is unrelated to the claims in the case.
	694		E-mail dated October 9, 2015 Subject: Catalyst Funds to Soft Close ... SEC Exhibit 93	Objection: Relevance. "Soft close" is unrelated to the claims in the case.
	695		E-mail dated October 20, 2015 Subject: RE: Hedged Futures Fund Soft Close Compensation Changes SEC Exhibit 94	Objection: Relevance. "Soft close" is unrelated to the claims in the case. Objection: Hearsay and Foundation. No witnesses with knowledge of the document.
	696		E-mail dated March 16, 2016 SEC Exhibit 144 Bates: SEC_04_0182859-60	Objection: Relevance. "Soft close" issue is unrelated to the claims in the case.
	697		E-mail dated March 15, 2017 SEC Exhibit 34 to Walczak Interview of April 4, 2018 Bates: SEC_01_0027975 and attachments	Objection: Relevance. Capacity issue is unrelated to the claims in the case.
	698		SEC Exhibit 146 Bates: SEC_04_0091132	Objection: Relevance. Capacity issue is unrelated to the claims in the case.
	699		E-mail dated August 5 2016 SEC Exhibit 116 Bates: SEC_04_0109826-28	Objection: Relevance. Capacity issue is unrelated to the claims in the case.
	700		Bates: SEC_01_0000722	Objection: Lack of foundation. Version of the document unclear. Objection: Hearsay offered for the truth of reasons for drawdown in February 2017.
	701		Manager Corner Interview SEC Exhibit 152	Objection: Hearsay. Online article with statements about the fund. Objection: Relevance, from 2014. Answers largely changed later.
	702		SEC Exhibit 153 Bates: SEC_04_0093968 and attachment	Objection: Relevance. Capacity issue is unrelated to the claims in the case.
	703		Open House Call recording from June 7, 2016 Bates: Catalyst_003_57978	None
	704		Bates: SEC_01_0084298	None

	705		E-mail dated Dec. 9, 2016 SEC Exhibit 39 Bates: Catalyst 005 0115865	None
	706		E-mail dated Dec. 9, 2016 SEC Exhibit 40 Bates: Catalyst 005 0115909-10	None
	707		E-mail dated Dec. 9, 2016 SEC Exhibit 44 Bates: Cat 005 0115627-29	Objection: Hearsay within hearsay. Speculation about what another witness is saying
	708		E-mail dated Dec. 10, 2016 SEC Exhibit 46 Bates: Cat 005 0118107	None
	709		E-mail dated Dec. 12, 2016 SEC Exhibit 48 Bates: Cat 005 0119017-18	None
	710		E-mail dated Dec. 13, 2016 SEC Exhibit 49 Bates: Cat 005 0121626-27	None
	711		SEC Exhibit 50 Bates: Cat 005 0124358 -59	None
	712		Bates: SEC_01_0025405	Objection: Lack of foundation, Szilagyi is not a witness. Objection: Hearsay, email from investment adviser about the fund offered for the truth.
	714		Bates: SEC_01_0025102	None
	715		Email dated Feb. 10, 2017 CFTC Exhibit 4A Bates: Cat 05 0190446	None
	716		E-mail dated February 9, 2017 Bates: Catalyst 005 0183449	None
	717		Trade confirmations from February 9, 2017 Bates: Catalyst 005 0183450	None
	718		Trade confirmations from February 10, 2017 Bates: Catalyst 005 0190473	None
	719		E-mail dated February 13, 2017 Bates: Catalyst 005 0194444	None
	720		Trade confirmations from February 13, 2017 Bates: Catalyst 005 0194445	None
	721		Trade Log Feb. 17 CFTC Exhibit 10 from Walczak Interview of April 4, 2018	None
	722		CFTC Exhibit 12 from Walczak Interview of April 4, 2018 Bates: Cat 003 23755	None
	723		SEC_04_0121451	Objection: Relevance, relates to Manamu reports after the drawdown in February 2017
	724		Email dated Feb. 15, 2017 SEC Exhibit 70 SEC 01 0024536 and attachments	None
	725		SEC Exhibit 25 Nov. 1, 2016 Prospectus	None, except to extent inconsistent with Court Orders on MIL

	726		Email dated Dec. 13, 2016 SEC Exhibit 79 from Walczak Interview of April 4, 2018 Bates: Cat 005 0121294-96	None
	727		Email dated Feb. 13, 2017 SEC Exhibit 126 Cat 005 0194210-11	None
	728		Open House Call Transcript dated March 18, 2015	None
	729		HFX Weekly Open House Call recording dated September 22, 2015 Bates: Catalyst 003 28660	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	730		<i>Intentionally Omitted</i>	N/A
	731		HFX Weekly Open House Call recording dated October 27, 2015 Bates: Catalyst 003 31352	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	732		<i>Intentionally Omitted</i>	N/A
	733		<i>Intentionally Omitted</i>	N/A
	734		HFX National Open House recording dated December 15, 2015 Bates: Catalyst 003 35116	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	735		HFX National Open House recording dated January 5, 2016 Bates: Catalyst 003 04180	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	736		HFXIX PM Update recording Bates: Catalyst_003_35390	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	737		<i>Intentionally Omitted</i>	N/A
	738		Open House Call dated February 16, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	739		<i>Intentionally Omitted</i>	N/A
	740		Open House Call dated April 26, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	741		Open House Call recording from May 10, 2016 Bates: Catalyst_003_54259	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	742		Open House Call recording from June 7, 2016 Bates: Catalyst 003 57978	None. Duplicative of DX 703
	743		<i>Intentionally Omitted</i>	N/A
	744		Open House Call recording from July 26, 2016 Bates: Catalyst_003_05145	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	745		<i>Intentionally Omitted</i>	N/A
	746		<i>Intentionally Omitted</i>	N/A

	747		Open House Call recording from August 30, 2016 Bates: Catalyst 003_07057	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	748		Open House Call recording from September 13, 2016 Bates: Catalyst 003_07869	None
	749		Open House Call recording from September 13, 2016 Bates: Catalyst 003_07990	None. Duplicative of DX 748
	750		Open House Call recording from September 27, 2016 Bates: Catalyst 003_09168	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	751		<i>Intentionally Omitted</i>	N/A
	752		Open House Call recording from October 25, 2016 Bates: Catalyst 003_11578	None
	753		Open House Call recording November 15, 2016 Bates: SEC 01_0012551	None
	754		<i>Intentionally Omitted</i>	N/A
	755		<i>Intentionally Omitted</i>	N/A
	756		Open House Call recording from December 27, 2016 Bates: Catalyst 003_19224	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	757		<i>Intentionally Omitted</i>	N/A
	758		Open House Call recording from January 10, 2017 Bates: Catalyst 003_20513	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	759		<i>Intentionally Omitted</i>	N/A
	760		Open House Call recording from January 24, 2017 Bates: Catalyst 003_21780	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	761		Open House Call recording from January 24, 2017 Bates: Catalyst 003_21860	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11. Duplicative of DX 760
	762		Open House Call recording from December 2, 2016 Bates: Catalyst 005_0098645	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	763		Open House Call recording from February 7, 2017 Bates: Catalyst 003_23506	None
	764		Open House Call recording from February 15, 2017 Bates: Catalyst 003_24685	None
	765		Open House Call recording from February 21, 2017 Bates: Catalyst 003_25730	None
	766		Open House Call recording from March 1, 2017 Bates: Catalyst_003_26689	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11

767		Open House Call recording from March 7, 2017 Bates: Catalyst_003_87216	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
768		Open House Call recording from March 9, 2017 Bates: Catalyst_003_00779	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
769		<i>Intentionally Omitted</i>	N/A
770		Open House Call recording from March 15, 2017 Bates: Catalyst_003_00964	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
771		Open House Call recording from March 17, 2017 Bates: Catalyst_003_01310	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
772		Open House Call recording from March 22, 2017 Bates: Catalyst_003_01808	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
773		Open House Call recording from March 24, 2017 Bates: Catalyst_003_02178	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
774		Open House Call recording from March 28, 2017 Bates: Catalyst_003_02722	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
775		Catalyst Statement of Additional Information (SAI) supplement dated Dec. 5, 2016 Bates: Catalyst_005_0103206	None, except to extent inconsistent with Court Orders on MIL.
776		Catalyst SAI supplement dated Dec. 14, 2016 Bates: Catalyst_005_0124455	None, except to extent inconsistent with Court Orders on MIL
777		Catalyst SAI supplement dated Jan. 19, 2017 Bates: Catalyst_005_0145336	None, except to extent inconsistent with Court Orders on MIL.
778		Catalyst SAI Supplement dated Sept. 1, 2015 Bates: CFTC-WALCZAK-00004645	None, except to extent inconsistent with Court Orders on MIL
779		Catalyst SAI dated Nov. 1, 2015 Bates: SEC_01_0048215	None, except to extent inconsistent with Court Orders on MIL
780		Catalyst SAI dated Nov. 1, 2016 Bates: SEC_01_0073556	None, except to extent inconsistent with Court Orders on MIL
781		Catalyst SAI Supplement dated Dec. 6, 2016 Bates: Catalyst_005_0109327	None, except to extent inconsistent with Court Orders on MIL.
782		Catalyst SAI dated Aug. 29, 2013 Bates: CFTC3_00028636	None, except to extent inconsistent with Court Orders on MIL.
783		Catalyst SAI Supplement dated Aug. 28, 2018 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
784		Catalyst SAI dated Nov. 1, 2018 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.

	785		Catalyst SAI Supplement dated October 12, 2018 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	786		Catalyst SAI Supplement dated Sept. 26, 2019 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	787		Catalyst SAI dated Nov. 1, 2019 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	788		Catalyst SAI dated Nov. 1, 2017 Public Filing	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	789		E-mail dated February 14, 2017 Bates: SEC 01 0023787	None
	790		Draft Catalyst Hedged Futures Strategy Fund Update for Feb. 14, 2017 Bates: SEC 01 0023788	None
	791		E-mail dated February 13, 2017 Bates: SEC 01 0000276	None
	792		Draft Catalyst Hedged Futures Strategy Fund Update for Feb. 14, 2017 Bates: SEC 01 0000277	None
	793		E-mail dated March 6, 2017 Bates: SEC 01 0000524 to SEC 01 0000527	None
	794		E-mail dated August 24, 2014 Bates: CFTC3 00032463 to CFTC3 00032469	None
	795		E-mail dated August 26, 2014 Bates: CFTC3 00032436 to CFTC3 00032437	None
	796		E-mail dated Dec. 10, 2017 Bates: Catalyst 005 0118107	None
	797		E-mail dated Nov. 19, 2014 Bates: SEC 04 0369122	None
	798		Early Risk Metrics Bates: SEC 04 0369123	None
	799		E-mail dated Dec. 22, 2014 Bates: SEC 04 0357587 to SEC 04 0357606	None
	800		E-mail dated Jan. 20, 2015 Bates: CFTC3 00024270 to CFTC3 00024273	None
	801		E-mail dated May 20, 2015 Bates: CFTC3 00023342	None
	802		E-mail dated May 27, 2015 Bates: CFTC4 00000325	None
	803		E-mail dated June 20, 2015 Bates: CFTC3 00030811	None
	804		Fund Risk Guidelines 5/8/2015 Spreadsheet Exhibit 10 to CFTC deposition of Ed Walczak from May 18, 2021	None
	805		Fund Risk Guidelines 6/7/2015 Spreadsheet Exhibit 11 to CFTC deposition of Ed Walczak from May 18, 2021	None

	806		E-mail dated Nov. 23, 2015 Exhibit 12 to CFTC deposition of Ed Walczak from May 18, 2021 CFTC 00003173	None
	807		Investor Presentation, Q1 2016 Exhibit 13 to CFTC deposition of Ed Walczak from May 18, 2021	None
	808		Investor Presentation, Q4 2013 Exhibit 14 to CFTC deposition of Ed Walczak from May 18, 2021	None
	809		E-mail dated May 11, 2014 Bates: SEC 04 0371171	None
	810		National Sales Meeting Presentation Bates: SEC 04 0371172 to SEC 04 0371181	None
	811		E-mail dated Feb. 15, 2017 Bates: Catalyst 005 0200749	None
	812		HFXAX Positions as of Feb. 15, 2017 Catalyst 005 0200750	None
	813		E-mail dated Feb. 14, 2017 Bates: Catalyst 003 00276	None
	814		Draft Catalyst Hedged Futures Strategy Fund Update for Feb. 14, 2017 Bates: Catalyst 003 00277	None
	815		Exhibit 25 to CFTC deposition of Ed Walczak from May 18, 2021	Objection: Schedule of Walczak's purchases of shares of the fund. Excluded per MIL ruling.
	816		Exhibit 26 to CFTC deposition of Ed Walczak from May 18, 2021	Objection: Duplicate of 793.
	817		Exhibit 27 to CFTC deposition of Ed Walczak from May 18, 2021	None
	818		Exhibit 28 to CFTC deposition of Ed Walczak from May 18, 2021	None
	819		E-mail dated Feb. 3, 2017 Bates: Catalyst 003 00244 and link	None
	820		Exhibit 34 to CFTC deposition of Ed Walczak from May 18, 2021	None
	821		E-mail dated Feb. 6, 2017 Bates: Catalyst 003 00245 and link	None
	822		Exhibit 36 to CFTC deposition of Ed Walczak from May 18, 2021	None
	823		Exhibit 37 to CFTC deposition of Ed Walczak from May 18, 2021	None
	824		Mike De Laval Report Exhibit 1	None (subject to Court's ruling on pending motion in limine)
	825		Historical S&P 500 Prices	None
	826		Manager Performance Bates: SEC 01 0002258 to SEC 01 0002265	Foundation.
	827		<i>Intentionally Omitted</i>	N/A
	828		<i>Intentionally Omitted</i>	N/A

	829		OptionVue Help Dkt. 41-5	Relevance. 401. 403. Foundation.
	830		Black Scholes Dkt. 41-13	Foundation. 403
	831		Evans Client Holdings, Dkt. 41-49	Foundation.
	832		Catalyst Form N-Q of 9/30/2013	None, except to extent inconsistent with Court Orders on MIL.
	833		Catalyst Form N-CSR of 12/31/2013	None, except to extent inconsistent with Court Orders on MIL.
	834		Catalyst Form N-Q of 3/31/2014	None, except to extent inconsistent with Court Orders on MIL.
	835		Catalyst Form N-CSR of 6/30/2014	None, except to extent inconsistent with Court Orders on MIL.
	836		Catalyst Form N-Q of 9/30/2014	None, except to extent inconsistent with Court Orders on MIL.
	837		Catalyst Form N-CSR of 12/31/2014	None, except to extent inconsistent with Court Orders on MIL.
	838		Catalyst Form N-Q of 3/31/2015	None, except to extent inconsistent with Court Orders on MIL.
	839		Catalyst Form N-CSR of 6/30/2015	None, except to extent inconsistent with Court Orders on MIL.
	840		Catalyst Form N-Q of 9/30/2015	None, except to extent inconsistent with Court Orders on MIL.
	841		Catalyst Form N-CSR of 12/31/2015	None, except to extent inconsistent with Court Orders on MIL.
	842		Catalyst Form N-Q of 3/31/2016	None, except to extent inconsistent with Court Orders on MIL.
	843		Catalyst Form N-CSR of 6/30/2016	None, except to extent inconsistent with Court Orders on MIL.
	844		Catalyst Form N-Q of 9/30/2016	None, except to extent inconsistent with Court Orders on MIL.
	845		Catalyst Form N-CSR of 12/31/2016	None, except to extent inconsistent with Court Orders on MIL.
	846		Catalyst Form N-Q of 3/31/2017	Relevance. 403. Outside of relevant time period. Object to extent inconsistent with Court Orders on MIL.
	847		Catalyst Trade Log for December 2013 Bates: CFTC2_00334	None

	848		Catalyst Trade Log for September 2013 Bates: CFTC2 00335	None
	849		Catalyst Trade Log for November 2013 Bates: CFTC2 00336	None
	850		Catalyst Trade Log for October 2013 Bates: CFTC2 00337	None
	851		Catalyst Trade Log for August 2014 Bates: CFTC2 00338	None
	852		Catalyst Trade Log for April 2014 Bates: CFTC2 00339	None
	853		Catalyst Trade Log for December 2014 Bates: CFTC2 00340	None
	854		Catalyst Trade Log for February 2014 Bates: CFTC2 00341	None
	855		Catalyst Trade Log for January 2014 Bates: CFTC2 00342	None
	856		Catalyst Trade Log for July 2014 Bates: CFTC2 00343	None
	857		Catalyst Trade Log for June 2014 Bates: CFTC2 00344	None
	858		Catalyst Trade Log for March 2014 Bates: CFTC2 00345	None
	859		Catalyst Trade Log for May 2014 Bates: CFTC2 00346	None
	860		Catalyst Trade Log for November 2014 Bates: CFTC2 00347	None
	861		Catalyst Trade Log for October 2014 Bates: CFTC2 00348	None
	862		Catalyst Trade Log for September 2014 Bates: CFTC2 00349	None
	863		Catalyst Trade Log for April 2015 Bates: CFTC2 00350	None
	864		Catalyst Trade Log for August 2015 Bates: CFTC2 00351	None
	865		Catalyst Trade Log for December 2015 Bates: CFTC2 00352	None
	866		Catalyst Trade Log for February 2015 Bates: CFTC2 00353	None
	867		Catalyst Trade Log for January 2015 Bates: CFTC2 00354	None
	868		Catalyst Trade Log for July 2015 Bates: CFTC2 00355	None
	869		Catalyst Trade Log for June 2015 Bates: CFTC2 00356	None
	870		Catalyst Trade Log for March 2015 Bates: CFTC2 00357	None
	871		Catalyst Trade Log for May 2015 Bates: CFTC2 00358	None
	872		Catalyst Trade Log for November 2015 Bates: CFTC2 00359	None
	873		Catalyst Trade Log for September 2015 Bates: CFTC2 00360	None
	874		Catalyst Trade Log for October 2015 Bates: CFTC2 00361	None

	875		Catalyst Trade Log for January 2016 Bates: SEC 02 0087654	None
	876		Catalyst Trade Log for February 2016 Bates: CFTC-WALCZAK-00008156	None
	877		Catalyst Trade Log for March 2016 Bates: CFTC-WALCZAK-00008157	None
	878		Catalyst Trade Log for April 2016 Bates: SEC 02 0087656	None
	879		Catalyst Trade Log for May 2016 Bates: SEC 02 0087652	None
	880		Catalyst Trade Log for June 2016 Bates: SEC 02 0087655	None
	881		Catalyst Trade Log for July 2016 Bates: SEC 02 0087666	None
	882		Catalyst Trade Log for August 2016 Bates: CFTC-WALCZAK-00008162	None
	883		Catalyst Trade Log for September 2016 Bates: CFTC-WALCZAK-00008163	None
	884		Catalyst Trade Log for October 2016 Bates: CFTC-WALCZAK-00008164	None
	885		Catalyst Trade Log for November 2016 Bates: CFTC-WALCZAK-00008165	None
	886		Catalyst Trade Log for December 2016 Bates: CFTC-WALCZAK-00008166	None
	887		Catalyst Trade Log for January 2017 Bates: CFTC-WALCZAK-00008152	None
	888		Catalyst Trade Log for February 2017 Bates: CFTC-WALCZAK-00008151	None
	889		Catalyst Trade Log for March 2017 707.xlsx	Relevance. 403. Outside of relevant time period.
	890		Catalyst Trade Log for April 2017 454.xlsx	Relevance. 403. Outside of relevant time period.
	891		Catalyst Trade Log for May 2017 671.xlsx	Relevance. 403. Outside of relevant time period.
	892		Catalyst Trade Log for June 2017 642.xlsx	Relevance. 403. Outside of relevant time period.
	893		Catalyst Trade Log for July 2017 614.xlsx	Relevance. 403. Outside of relevant time period.
	894		Catalyst Trade Log for August 2017 514.xlsx	Relevance. 403. Outside of relevant time period.
	895		Catalyst Trade Log for September 2017 798.xlsx	Relevance. 403. Outside of relevant time period.
	896		Catalyst Trade Log for October 2017 771.xlsx	Relevance. 403. Outside of relevant time period.
	897		Catalyst Trade Log for November 2017 741.xlsx	Relevance. 403. Outside of relevant time period.
	898		Catalyst Trade Log for December 2017 485.xlsx	Relevance. 403. Outside of relevant time period.
	899		Catalyst Trade Log for January 2018 609.xlsx	Relevance. 403. Outside of relevant time period.
	900		Catalyst Trade Log for February 2018 1011.xlsx	Relevance. 403. Outside of relevant time period.
	901		Catalyst Trade Log for March 2018 1051.xlsx	Relevance. 403. Outside of relevant time period.

	902		Catalyst Trade Log for April 2018 994.xlsx	Relevance. 403. Outside of relevant time period.
	903		<i>Intentionally Omitted</i>	N/A
	904		<i>Intentionally Omitted</i>	N/A
	905		<i>Intentionally Omitted</i>	N/A
	906		<i>Intentionally Omitted</i>	N/A
	907		Recording of Open House Call dated January 17, 2014	None
	908		Recording of Open House Call dated November 4, 2014	None
	909		Recording of Open House Call dated September 15, 2015	None
	910		HFX Weekly Open House Call Transcript dated September 29, 2015	None
	911		HFX Weekly Open House Call Transcript of October 6, 2015	None
	912		HFX Weekly Open House Call Transcript dated October 13, 2015	None
	913		HFX Weekly Open House Call Transcript dated November 10, 2015	None
	914		HFX Weekly Open House Call Transcript dated December 1, 2015	None
	915		HFX National Open House Call Transcript dated January 19, 2016	None
	916		HFX National Open House Transcript dated February 2, 2016	None
	917		HFXAX PM Update Call Transcript dated March 1, 2016	Foundation. Unclear whether this is a transcript of 3/1/16 Open House Call or something else.
	918		HFX National Open House Call Transcript dated March 15, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	919		Recording of March 29, 2016 Open House Call Bates: SEC Prod 000607977	None
	920		National Open House HFX & CFH Call Transcript April 12, 2016	None
	921		Recording of Open House Call dated May 24, 2016	None
	922		National Open House HFX & CFH Call Transcript dated June 28, 2016	None
	923		National Open House HFX & CFH Call Transcript dated July 12, 2016	None
	924		National Open House HFX-CFH Call Transcript dated August 9, 2016 Bates: SEC 01 00064447	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	925		National Open House HFX & CFH Call Transcript dated October 11, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11

	932		HFX CFH Open House Call Transcript dated November 15, 2016	None
	933		HFX CFH Open House PM Conf Call Transcript dated February 27, 2017	None
	934		Summary Exhibit SPAM Margin Manamu	Objection – improper summary exhibit and other objections. See separate brief.
	935		Summary Exhibit Margin PCT April 2015 through May 2015	Objection – improper summary exhibit and other objections. See separate brief.
	936		Summary Exhibit PCT NT by Month	Objection – improper summary exhibit and other objections. See separate brief.
	937		Summary Exhibit PCT NT by Week	Objection – improper summary exhibit and other objections. See separate brief.
	938		Summary Exhibit Call Qty June 2016 through March 2017	Objection – improper summary exhibit and other objections. See separate brief.
	939		Summary Exhibit Cumulative Trades by Month	Objection – improper summary exhibit and other objections. See separate brief.
	940		Summary Exhibit Cumulative Trades by Week	Objection – improper summary exhibit and other objections. See separate brief.
	941		Summary Exhibit Margin PCT Full Period	Objection – improper summary exhibit and other objections. See separate brief.
	942		Historical Data Spreadsheet Catalyst_ARB_SEC_0002504	Objection – improper summary exhibit and other objections. See separate brief.
	943		Catalyst_005_0135172,	None
	944		Catalyst_005_0136477,	None
	945		Catalyst_005_0159918,	None
	946		Catalyst_005_0161154	None
	947		Catalyst_005_0166449	None
	948		SEC_04_0120002	Objection: Relevance, relates to Manamu reports after the drawdown in February 2017
	949		Open House Call recording dated March 18, 2015	None
	950		HFX Weekly Open House Call transcript dated September 22, 2015	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	951		HFX Weekly Open House Call transcript dated October 27, 2015	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	952		HFX National Open House transcript dated December 15, 2015	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-

				11
	953		HFX National Open House transcript dated January 5, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	954		HFXIX PM Update transcript	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	955		Open House Call transcript from February 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	956		Open House Call transcript April 2, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	957		Open House Call transcript from May 10, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	958		Open House Call transcript from June 7, 2016	None
	959		Open House Call transcript from July 19, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	960		Open House Call transcript from July 26, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	961		Open House Call transcript from August 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	962		Open House Call transcript from August 23, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	963		Open House Call transcript from August 30, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	964		Open House Call transcript from September 27, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	965		Open House Call transcript from October 18, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	966		Open House Call transcript from October 25, 2016	None
	967		Open House Call transcript from November 29, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	968		Open House Call transcript from December 13, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	969		Open House Call transcript from December 27, 2016	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	970		Open House Call transcript from January 1, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11

	971		Open House Call transcript from January 10, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	972		Open House Call transcript from January 17, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	973		Open House Call transcript from January 24, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	974		Open House Call transcript from February 7, 2017 Bates: Catalyst 003 23506	None
	975		Open House Call transcript from February 15, 2017	None
	976		Open House Call transcript from February 21, 2017	None
	977		Open House Call transcript from March 1, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	978		Open House Call transcript from March 7, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	979		Open House Call transcript from March 9, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	980		Open House Call transcript from March 14, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	981		Open House Call transcript from March 15, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	982		Open House Call transcript from March 17, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	983		Open House Call transcript from March 22, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	984		Open House Call transcript from March 24, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	985		Open House Call transcript from March 28, 2017	Relevance. 403. Court Order on MILs (Dkt. 137) at pp. 10-11
	986		Summary Exhibit Saffrin Calculation	Objection – improper summary exhibit, outside relevant time period and other objections. See separate brief.
	987		Securities and Exchange Commission Complaint	None
	988		Securities and Exchange Commission Interrogatory Responses	None
	989		RVOL & VIX Public Information	Relevance. 401. 403.
	990		AUM per Month	None

			Catalyst_005_87727	
	991		Trade Log Summary	Objection – improper summary exhibit and other objections. See separate brief.
	992		CWXAX Historical Pricing Summary	Objection – improper summary exhibit and other objections. See separate brief.
	993		Summary Exhibit Open Option Premium	Objection – improper summary exhibit and other objections. See separate brief.
	994		Summary Exhibit Manamu Compilation	Objection – improper summary exhibit and other objections. See separate brief.
	995		Summary Exhibit Fund Volatility and Correlation	Objection – improper summary exhibit and other objections. See separate brief.
	996		Summary Exhibit 30 Day volatility	Objection – improper summary exhibit and other objections. See separate brief.
	997		Summary Exhibit 90 Day Volatility	Objection – improper summary exhibit and other objections. See separate brief.
	998		Summary Exhibit 6 Month Volatility	Objection – improper summary exhibit and other objections. See separate brief.
	999		Summary Exhibit 12 Month Volatility	Objection – improper summary exhibit and other objections. See separate brief.
	1000		Summary Exhibit Life Time Volatility	Objection – improper summary exhibit and other objections. See separate brief.
	1001		Summary Exhibit 30 Day Correlation	Objection – improper summary exhibit and other objections. See separate brief.
	1002		Capacity Analysis November 2016 SEC_01_002800	Objection: Relevance. Capacity issue is unrelated to the claims in the case. Objection: Foundation. No obvious witness with knowledge of this document.